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| Help | Logout | Interrupt |

| Main Menu | Search Form | Posting Counts | Show S Numbers | Edit S Numbers | Preferences | Cases |

Search Results -

Terms	Documents
L36 and securiti$ near2 trad$	26

Database:

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US Patents Full-Text Database
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EPO Abstracts Database
Derwent World Patents Index
IBM Technical Disclosure Bulletins
```

Search:
| Refine Search |

| Recall Text | Clear |

Search History

DATE: Wednesday, March 05, 2003   Printable Copy   Create Case

Set Name side by side	Query	Hit Count	Set Name result set
	DB=USPT,PGPB,JPAB,EPAB,DWPI,TDBD; PLUR=YES; OP=OR		
L37	L36 and securiti$ near2 trad$	26	L37
L36	L35 and computer near2 programs	10573	L36
L35	L33 and "central processing unit"	28429	L35
L34	L33 and "central processing unit" or cpu	290810	L34
L33	L32 and memory	183264	L33
L32	(internet or www or network)	679731	L32
L31	internet-based near securiti$ near trad$	4	L31
L30	trad$ near2 securiti$	684	L30
L29	L27 and print$ near report	110	L29
L28	L27 and generic near2 orders	4	L28
L27	security near5 order	5502	L27
L26	6016483.pn.	2	L26
L25	6014643.pn.	2	L25
L24	5950176.pn.	2	L24
L23	5787402.pn.	2	L23
L22	5347452.pn.	2	L22
L21	4674044.pn.	2	L21
L20	6278982.pn.	2	L20
L19	4745559.pn.	2	L19
L18	4750135.pn.	2	L18
L17	5003473.pn.	2	L17
L16	5034916.pn.	2	L16
L15	5077665.pn.	2	L15
L14	5727165.pn.	2	L14
L13	5136501.pn.	2	L13
L12	5195031.pn.	2	L12
L11	5927165.pn.	2	L11
L10	5924082.pn.	2	L10
L9	5924083.pn.	2	L9
L8	5966531.pn.	2	L8
L7	5987432.pn.	2	L7
L6	6006206.pn.	2	L6
L5	6260025.pn.	2	L5
L4	5640505.pn.	2	L4
L3	5819238.pn.	2	L3
L2	6317728.pn.	2	L2
L1	4674044.pn.	2	L1

END OF SEARCH HISTORY

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L37: Entry 20 of 26   File: USPT   Jun 18, 2002

US-PAT-NO: 6408282
DOCUMENT-IDENTIFIER: US 6408282 B1

TITLE: System and method for conducting securities transactions over a computer network

DATE-ISSUED: June 18, 2002

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Buist; Walter D.	Hasbrouck Heights	NJ		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Wit Capital Corp.	New York	NY			02

APPL-NO: 09/ 292553   [PALM]
DATE FILED: April 15, 1999

PARENT-CASE:
This application claims benefit to U.S. Provisional No. 60/122,208 filed Mar. 1, 1999.

INT-CL: [07] G06 F 17/60

US-CL-ISSUED: 705/37; 705/36
US-CL-CURRENT: 705/37; 705/36

FIELD-OF-SEARCH: 705/36, 705/37

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	3573747	April 1971	Adams	705/37
☐	5809483	September 1998	Broka et al.	705/37
☐	5873071	February 1999	Ferstenberg et al.	705/37
☐	5924082	July 1999	Silverman et al.	705/37
☐	6014643	July 1999	Minton	705/37
☐	5950177	September 1999	Lupien et al.	705/37
☐	6012046	January 2000	Lupien	705/37
☐	6243691	June 2001	Fisher et al.	705/37

FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
0407026	September 1991	EP	
WO9506918	March 1995	WO	
WO9634357	October 1996	WO	
WO9852133	November 1998	WO	

OTHER PUBLICATIONS

"Morgan Stanley Deploys Black Box Trading System"; May 1991; Trading Systems
Technology; Dialog file 636, Accession No. 01493468.*
Louis; "New breed of ECNs competes for market share"; Nov. 1998; Wall Street and
Technology Online Trading Supplement PP: 16-17; Dialog file 15, Accession No.
01726082.*
Resnick; "Serial portfolio. (Online securities trading) (including listing of
products and services"; Dec. 1992; Computer, V14, n11, p90(4); dialog filw 148,
Accession No. 06184981.*
Lehman "Trading and liquidity on the Tokyo Stock Exchange: a bird's eye view"; Jul.
1994, Journal of Finance, v49, n3, p951(34); Dialog file 148, Accession No. 0752021.

ART-UNIT: 2163

PRIMARY-EXAMINER: Hafiz; Tariq R.

ASSISTANT-EXAMINER: Jeanty; Romain

ABSTRACT:

The system and method of the preferred embodiment supports trading of securities
over the Internet both on national exchanges and outside the national exchanges. The
preferred embodiment supports an improved human interface and a continuous display
of real-time stock quotes on the user's computer screen. The ergonomic graphical
user interface (GUI) of the preferred embodiment includes several functional
benefits in comparison with existing on-line consumer trading systems. In the
preferred embodiment, the users are subscribers to a securities trading service
offered over the Internet. Preferably, each subscriber to this service is
simultaneously connected from his own computer to a first system which provides
user-to-user trading capabilities and to a second system which is a broker/dealer
system of his/her choice. The system providing the user-to-user trading services
preferably includes a root server and a hierarchical network of replicated servers
supporting replicated databases. The user-to-user system provides real-time
continuously updated stock information and facilitates user-to-user trades that have
been approved by the broker/dealer systems with which it interacts. Users of the
preferred system can trade securities with other users of the system. As part of
this user-to-user trading, a user can accept a buy or sell offer at the terms
offered or he can initiate a counteroffer and negotiate a trade.

7 Claims, 71 Drawing figures

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L1: Entry 1 of 2   File: USPT   Jun 16, 1987

US-PAT-NO: 4674044
DOCUMENT-IDENTIFIER: US 4674044 A

TITLE: Automated securities trading system

DATE-ISSUED: June 16, 1987

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Kalmus; Leslie P.	New York	NY		
Trojan; Donald R.	Stamford	CT		
Mott; Bradley	Douglaston	NY		
Strampfer; John	Greenlawn	NY		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Merrill Lynch, Pierce, Fenner & Smith, Inc.	New York	NY			02

APPL-NO: 06/ 696407   [PALM]
DATE FILED: January 30, 1985

INT-CL: [04] G06F 15/20, G06F 15/30

US-CL-ISSUED: 364/408; 340/825.26, 340/825.27
US-CL-CURRENT: 705/37; 340/825.26, 340/825.27

FIELD-OF-SEARCH: 364/408, 364/200, 364/900, 340/825.26, 340/825.27

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	2046381	July 1936	Hicks	340/825.27
☐	3082402	March 1963	Scantlin	340/825.27
☐	3296597	June 1967	Scantlin	340/825.27
☐	3387268	June 1968	Epstein	340/825.27
☐	3573747	April 1971	Adams	340/825.27
☐	3716835	February 1973	Weinberg	340/825.27
☐	4334270	June 1982	Towers	364/408
☐	4412287	October 1983	Braddock	364/408
☐	4473824	September 1984	Claytor	340/792
☐	4554418	November 1985	Toy	364/900

ART-UNIT: 236

PRIMARY-EXAMINER: Smith; Jerry

ASSISTANT-EXAMINER: Hayes; G.

ABSTRACT:

Data processing based apparatus makes an automated trading market for one or more securities. The system retrieves the best obtaining bid and asked prices from a remote data base, covering the ensemble of institutions or others making a market for the relevant securities. Data characterizing each securities buy/sell order requested by a customer is supplied to the system. The order is qualified for execution by comparing its specifics against predetermined stored parameters. The stored parameters include the operative bid and asked prices, the amount of stock available for customer purchase or sale, and maximum single order size.

Once qualified, the order is executed and the appropriate parameters are updated. The system provides inventory (position) control and profit accounting for the market maker. Finally, the system reports the executed trade details to the customer, and to national stock price reporting systems. Upon a change in the quoted price for a security, the system updates all relevant qualification parameters.

10 Claims, 6 Drawing figures

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L2: Entry 1 of 2   File: USPT   Nov 13, 2001

US-PAT-NO: 6317728
DOCUMENT-IDENTIFIER: US 6317728 B1

TITLE: Securities and commodities trading system

DATE-ISSUED: November 13, 2001

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Kane; Richard L.	Boca Raton	FL	33496	

APPL-NO: 09/ 170745   [PALM]
DATE FILED: October 13, 1998

INT-CL: [07] G06 F 17/60

US-CL-ISSUED: 705/37; 705/36
US-CL-CURRENT: 705/37; 705/36

FIELD-OF-SEARCH: 705/35, 705/36, 705/37, 705/38, 705/39, 235/379, 235/380, 340/825.26

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	4674044	June 1987	Kalmus et al.	705/37
☐	5101353	March 1992	Lupien et al.	705/37
☐	5297031	March 1994	Gutterman et al.	705/37
☐	5305200	April 1994	Hartheimer et al.	705/37
☐	5375055	December 1994	Togher et al.	705/37
☐	5497317	March 1996	Hawkins et al.	705/37
☐	5563783	October 1996	Stolfo et al.	705/8
☐	5671363	September 1997	Cristofich et al.	705/37
☐	5845266	December 1998	Lupien et al.	705/37
☐	5873071	February 1999	Ferstenberg et al.	705/37
☐	6012042	January 2000	Black et al.	705/36
☐	6018722	January 2000	Ray et al.	705/36

FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
000790568A1	August 1997	EP	
410011510A	January 1998	JP	
WO009641293A1	December 1996	WO	

OTHER PUBLICATIONS

Waters Information Services, Inc. "Citibank Tests FX AI System Compatible With F/X Trader?"FX Week, v1, n33, pN/A, Feb. 1991.*
Schmerken, Ivy, "Experts from the Promised Land to Wall Street", Wall Street & Technology, v11, n13, p22(3), May 1994.*
Omnitrader, "Investment analysis software 1996 Guide Computerized Trading Evaluation", Future v25, n8, p37(1), Feb. 1991.*
English D, How to choose and use investment software. (Compute's Getting Started with Personal money Mangement) (Buyers Guide), Compute, v15, n4, pS12 (4), Apr. 1993.*
Gilliland S, "Take stock of your finances: investment software", Computer Shopper, v14, n3, p512 (6), Mar. 1994.

ART-UNIT: 215

PRIMARY-EXAMINER: Millin; Vincent

ASSISTANT-EXAMINER: Kazimi; Hani M.

ABSTRACT:

In accordance with the invention there is provided a securities trading system based on the principles of artificial intelligence. It includes a data acquisition system having an input communicating with a securities exchange for receiving securities buy/sell data; a clock for generating clock times; a processing logic having inputs respectively communicating with the data acquisition system and with the clock for assigning respective clock times to said buy/sell data; a decision logic having a repository for storing a set of buy/sell rules for buying and selling securities in response to the buy and sell data aligned with the clock times; and a buy and sell execution system having an input communicating with the decision logic for executing buy and sell orders in conformance with the buy/sell rules. In the securities trading system according to the invention, the decision logic includes at least one decision agent, the agent representing a respective buy/sell rule, wherein further the decision logic may include at least two decision agents, each decision agent representing a respective buy rule or a respective sell rule. Artificial intelligence is provided in that the decision agents are rewarded in a feed-back arrangement by being given added or reduced voting power when their recommendations are found to respectively result in successful or unsuccessful decisions. Thereby a self-learning feature is provided which results in improving the performance of the system as the number of transactions increase.

9 Claims, 23 Drawing figures

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L4: Entry 1 of 2   File: USPT   Jun 17, 1997

US-PAT-NO: 5640505
DOCUMENT-IDENTIFIER: US 5640505 A

TITLE: Operational support structure for a telecommunications network

DATE-ISSUED: June 17, 1997

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Hearn; Richard Samuel Edwin	London			GB2
Bell; Robert Charles	Croydon			GB2
Hall; Rodney Christopher	Kent			GB2
Farr; Barry Sidney	Buckinghamshire			GB2
Harris; Stephen John	Middlesex			GB2
Grantham; Colin	London			GB2
Spence; Catherine	London			GB2
Fellows; Terry	Hartfordshire			GB2
Spooner; Michael James	Bedfordshire			GB2
Day; Michael William	Middlesex			GB2
Furley; Nicholas John	Buckinghamshire			GB2
Evans; Michael John	Bedfordshire			GB2
Wells; Stephen Raymond	Kent			GB2
Dance; Alan	Hampshire			GB2
Taylor; Ian Bryan	Ipswich			GB2
Williams; Eric Jenkin	Liverpool			GB2
Jones; Philip Stephen	Suffolk			GB2
Morrow; Gerard	Suffolk			GB2
Wilson; Stephen Andrew M.	Hertfordshire			GB2
Mountford; John Allan	Milton Keynes			GB2
Pyzer; Simon Magnus	Hertfordshire			GB2
Lumpkin; Alistair John	Suffolk			GB2

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
British Telecommunications public limited company	London			GB2	03

APPL-NO: 08/ 524289   [PALM]
DATE FILED: September 6, 1995

FOREIGN-APPL-PRIORITY-DATA:

COUNTRY	APPL-NO	APPL-DATE
EP	94306574	September 7, 1994

INT-CL: [06] G06 F 11/00

US-CL-ISSUED: 395/182.02; 395/208, 395/228, 395/182.01, 379/201
US-CL-CURRENT: 714/4; 379/114.01, 379/9, 705/28, 705/8, 714/3

FIELD-OF-SEARCH: 395/182.02, 395/182.01, 395/183.03, 395/201, 395/208, 395/209, 395/228, 395/234, 379/201

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	4912698	March 1990	Bitzinger	395/182.02 X
☐	5222128	June 1993	Daly	379/221
☐	5276861	January 1994	Howarth	395/182.02
☐	5416833	May 1995	Harper	379/201
☐	5444693	August 1995	Arslan	370/16
☐	5483585	January 1996	Parker	379/201
☐	5519772	May 1996	Akman	379/265
☐	5528677	June 1996	Butler	379/196

OTHER PUBLICATIONS

Wilson, "Service Management Systems: Supporting the Customer Interface", British Telecommunications Engineering, vol. 13, No. 1, Apr. 1994, London GB, pp. 20-23.
Scheurer, Telcom Report, vol. 17, No. 1, Jan. 1994, Munchen De, pp. 12-15, "Einheitliches Management Fur Die Digitale Telekommunikationswelt".
Helleur et al, "Network Administration Support System Development", British Telecommunications Engineering, vol. 9, No. 3, Oct. 1990, London GB, pp. 179-186.
Campbell et al, "A Layered Approach to Network Management Control", IEEE 92 Network Operations and Management Symposium, vol. 1, 1992, Memphis (US), pp. 46-56.
Stinson et al, "Design and Deployment of an Integrated Network Management System for a Large Telco Network", 94 IEEE Network Operations and Management Symposium, vol. 1, 14 Feb. 1994, Orlando (US), pp. 36-48.

ART-UNIT: 243

PRIMARY-EXAMINER: Beausoliel, Jr.; Robert W.

ASSISTANT-EXAMINER: Le; Dieu-Minh

ABSTRACT:

A support structure for an operational telecommunications network deploys a set of individual technologies and provides a set of services to customers. The support structure is divided into a set of domains each of which provides a particular management function for the network. These domains include a domain for managing customer handling functions, a domain for managing the network, a domain for managing the individual technologies deployed in the network, a domain for managing instances of the individual services provided by the network, a domain for managing billing operations, a domain for managing the services provided by the network when grouped together to form a portfolio, and a domain for managing jobs performed by the human workforce for the network. Each domain has its own set of databases and systems for performing the required management operations and also interfaces to some of the other domains. Each domain is implemented by one or more tightly integrated computers. The interfaces between the domains are primarily message passing interfaces.

20 Claims, 13 Drawing figures

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L6: Entry 1 of 2   File: USPT   Dec 21, 1999

US-PAT-NO: 6006206
DOCUMENT-IDENTIFIER: US 6006206 A

TITLE: Data health monitor for financial information communications networks

DATE-ISSUED: December 21, 1999

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Smith; Christina	Croydon			GB
Fletcher; Steve John Harwood	Ipswich			GB
Dale; Stephen G.	Stansted Mountfitchet			GB

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters Limited				GB	03

APPL-NO: 08/ 925586   [PALM]
DATE FILED: September 8, 1997

INT-CL: [06] G06 F 17/40, G06 F 17/60

US-CL-ISSUED: 705/35; 395/200.54, 395/200.78, 707/511, 707/530, 707/200, 707/962
US-CL-CURRENT: 705/35; 707/200, 709/224, 709/248, 715/511, 715/530

FIELD-OF-SEARCH: 705/1, 705/35, 705/37, 707/203, 707/1, 707/10, 707/104, 707/200, 707/511, 707/530, 707/540, 345/962, 345/330, 345/331, 345/332, 395/200.35, 395/200.54, 395/200.78

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

Search Selected   Search ALL

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	3801961	April 1974	Coombe	345/23
☐	4371871	February 1983	Adams	340/825.26
☐	4584643	April 1986	Halpern et al.	395/200.78
☐	4710926	December 1987	Brown et al.	395/182.02
☐	4745559	May 1988	Willis et al.	705/37
☐	4750135	June 1986	Boilen	395/200.61
☐	4807224	February 1989	Naron et al.	370/218
☐	4868866	September 1989	Williams, Jr.	340/825.31
☐	5077665	December 1991	Silverman et al.	705/37
☐	5136501	August 1992	Silverman et al.	705/37
☐	5187787	February 1993	Skeen et al.	395/680
☐	5195031	March 1993	Ordish	705/37
☐	5257369	October 1993	Skeen et al.	395/680
☐	5313461	May 1994	Ahl et al.	370/349
☐	5396587	March 1995	Reed et al.	707/503
☐	5442637	August 1995	Nguyen	371/5.5
☐	5471629	November 1995	Risch	707/201
☐	5483631	January 1996	Nagai et al.	345/329
☐	5485455	January 1996	Dobbins et al.	370/255
☐	5491780	February 1996	Fyles et al.	345/332
☐	5519704	May 1996	Farinacci et al.	370/402
☐	5541927	July 1996	Kristol et al.	370/408
☐	5557608	September 1996	Calvignac et al.	370/389
☐	5557798	September 1996	Skeen et al.	705/35
☐	5581703	December 1996	Baugher et al.	395/200.55
☐	5581704	December 1996	Barbara et al.	711/141
☐	5590269	December 1996	Kruse et al.	705/9
☐	5617522	April 1997	Peltier	345/433
☐	5617541	April 1997	Albanese et al.	395/200.37
☐	5631907	May 1997	Guarneri et al.	370/474
☐	5634004	May 1997	Gopinath et al.	395/312
☐	5694608	December 1997	Shostak	707/506
☐	5701465	December 1997	Baugher et al.	707/10
☐	5704042	December 1997	Hester et al.	395/200.34
☐	5706435	January 1998	Barbara et al.	711/141
☐	5706510	January 1998	Burgoon	707/203
☐	5793366	August 1998	Mano et al.	345/329
☐	5794206	August 1998	Wilkinson et al.	705/1
☐	5799318	August 1998	Cardinal et al.	707/104
☐	5826253	October 1998	Bredenberg	707/2
☐	5835910	November 1998	Kavanagh et al.	707/103
☐	5838938	November 1998	Morgan	345/328

FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
0 434 224 A2	November 1990	EP	

OTHER PUBLICATIONS

Paulus, Jochen, Well Speculated!, http://www.slingshot.ie/press/global.htm, Aug. 1997.
Multimedia Business Analyst, n 8, p. 8, Feb. 12, 1997.

ART-UNIT: 274

PRIMARY-EXAMINER: Trammell; James P.

ASSISTANT-EXAMINER: Rosen; Nicholas D.

ABSTRACT:

A financial communications network incorporating a data health monitor includes a plurality of data sources, a plurality of data collection system, a client site terminal and a network connecting these components. Each data collection system includes a processor for receiving and formatting financial data received from said data sources, wherein the formatted financial data has a data field including a first data source identifier identifying the data source of said formatted financial data and a first system identifier identifying the data collection system formatting said formatted financial data. The data collection systems also include a status code generator for generating and transmitting a status code, wherein the status code generator automatically updates the status code when the operating status of a corresponding data source changes; and a heartbeat signal generator for generating and periodically transmitting a heartbeat signal. The client site terminal includes a processor for receiving the formatted financial data, the heartbeat signal and the status codes which it processes to determine whether there is a problem in the receipt of the financial data which prevents the terminal's receipt of the data in real time. The client site terminal then selects a real-time or stale display mode for displaying the financial data, and a display displays the financial data in accordance with the selected real-time or stale display mode.

23 Claims, 7 Drawing figures

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L7: Entry 1 of 2   File: USPT   Nov 16, 1999

US-PAT-NO: 5987432
DOCUMENT-IDENTIFIER: US 5987432 A

TITLE: Fault-tolerant central ticker plant system for distributing financial market data

DATE-ISSUED: November 16, 1999

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Zusman; Joseph	Sherman Oaks	CA		
Tang; Jennifer L.	Canoga Park	CA		
Nakelsky; Raymond S.	Los Angeles	CA		
Verbeck; Stephen L.	Lake Forest	CA		
Azizian; David	West Los Angeles	CA		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters, Ltd.	London			GB	03

APPL-NO: 08/ 998983   [PALM]
DATE FILED: December 29, 1997

PARENT-CASE:
This application is a continuation of Ser. No. 08/269,232, now abandoned, filed Jun. 6, 1994.

INT-CL: [06] G06 F 17/60

US-CL-ISSUED: 705/35; 705/37, 709/260
US-CL-CURRENT: 705/35; 705/37, 714/11

FIELD-OF-SEARCH: 705/35, 705/36, 705/37, 705/1, 707/10, 707/104, 380/49, 395/500.44, 395/500.48, 709/247, 709/260, 370/242, 370/216

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE DATE	PATENTEE-NAME	US-CL
☐	3082402	March 1963	Scantlin	
☐	3513442	May 1970	Sieracki	
☐	3611294	October 1971	O'Neill et al	
☐	3689872	September 1972	Sieracki	
☐	4473824	September 1984	Clayton	
☐	4554418	November 1985	Toy	
☐	4566066	January 1986	Towers	
☐	4665519	May 1987	Kirchner et al.	
☐	4674044	June 1987	Kalmus et al.	
☐	4677434	June 1987	Fascenda	
☐	4677552	June 1987	Sibley, Jr.	
☐	4868866	September 1989	Williams, Jr.	
☐	4942616	July 1990	Linstroth et al.	
☐	4989141	January 1991	Lyons et al.	
☐	5038284	August 1991	Kramer	
☐	5045848	September 1991	Fascenda	
☐	5101353	March 1992	Lupien et al.	
☐	5119465	June 1992	Jack et al.	
☐	5131020	July 1992	Liebesny et al.	
☐	5303149	April 1994	Janigian	
☐	5557780	September 1996	Edwards et al.	
☐	5710889	January 1998	Clark et al.	
☐	5774878	June 1998	Marshall	
☐	5864827	January 1999	Wilson	
☐	5870719	February 1999	Martizen et al.	
☐	5893079	April 1999	Cwenar	

ART-UNIT: 274

PRIMARY-EXAMINER: Weinhardt; Robert A.

ABSTRACT:

A central ticker plant system for distributing financial market data that receives
ticker feed data from many exchanges throughout the world, processes and formats the
received data and then distributes or broadcasts the data to regional customers in
the form of securities transactional data denoting the security identity and related
transactional data. The central ticker plant system is fault-tolerant because of
novel hardware redundancy and multi-thread software processing architecture and
operates continuously during hardware and software maintenance and repair, ensuring
that every financial market data message received from the exchanges is included
within 500 milliseconds in broadcast output.

18 Claims, 12 Drawing figures

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L8: Entry 1 of 2   File: USPT   Oct 12, 1999

US-PAT-NO: 5966531
DOCUMENT-IDENTIFIER: US 5966531 A

TITLE: Apparatus and method for providing decoupled data communications between software processes

DATE-ISSUED: October 12, 1999

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Skeen; Marion Dale	Palo Alto	CA		
Bowles; Mark	Woodside	CA		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters, Ltd.	London			GB	03

APPL-NO: 08/ 478225   [PALM]
DATE FILED: June 7, 1995

PARENT-CASE:
This is a continuation application under 37 C.F.R. 1.60 of U.S. patent application Ser. No. 07/632,551, filed Dec. 21, 1990, which is now U.S. Pat. No. 5,557,798 (Attorney Docket TEK-009) which was a Continuation-In-Part application of Ser. No. 07/601,117, filed Oct. 22, 1990 for APPARATUS AND METHOD FOR PROVIDING DECOUPLING OF DATA EXCHANGE DETAILS AND PROVIDING HIGH PERFORMANCE COMMUNICATION BETWEEN SOFTWARE PROCESSES, which is now U.S. Pat. No. 5,257,369, (Attorney Docket TEK-008), which was a Continuation-In-Part application of Ser. No. 07/386,584 filed Jul. 27, 1989 for APPARATUS AND METHOD FOR PROVIDING DECOUPLING OF DATA EXCHANGE DETAILS AND PROVIDING HIGH PERFORMANCE COMMUNICATION BETWEEN SOFTWARE PROCESSES, which is now U.S. Pat. No. 5,187,787 (Attorney Docket TEK-001).

INT-CL: [06] G06 F 7/00

US-CL-ISSUED: 395/683; 395/701
US-CL-CURRENT: 709/315; 717/100

FIELD-OF-SEARCH: 395/700, 395/650, 395/680, 395/683, 395/681, 395/682, 395/684, 395/685, 395/701

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

Search Selected | Search ALL

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	4363093	December 1982	Davis et al.	364/200
☐	4688170	August 1987	Waite et al.	364/200
☐	4718005	January 1988	Feigenbaum et al.	364/200
☐	4751635	June 1988	Kret	364/200
☐	4815030	March 1989	Cross et al.	364/900
☐	4823122	April 1989	Mann et al.	340/825.28
☐	4851988	July 1989	Trottier et al.	364/200
☐	4885717	December 1989	Beck et al.	395/683
☐	4914583	April 1990	Weisshaar et al.	364/200
☐	4937784	June 1990	Masai et al.	364/900
☐	4975830	December 1990	Gerpheide et al.	364/200
☐	4975904	December 1990	Mann et al.	370/85.1
☐	4975905	December 1990	Mann et al.	370/85.1
☐	4992972	February 1991	Brooks et al.	364/900
☐	4999771	March 1991	Ralph et al.	364/200
☐	5057996	October 1991	Cutler et al.	395/683
☐	5058108	October 1991	Mann et al.	370/85.1
☐	5062037	October 1991	Shorter et al.	364/200
☐	5062039	October 1991	Brown et al.	395/683
☐	5073852	December 1991	Siegel et al.	395/700
☐	5101406	March 1992	Messenger	70/94.1
☐	5187787	February 1993	Skeen et al.	395/600
☐	5257369	October 1993	Skeen et al.	395/650
☐	5303379	April 1994	Khoyi et al.	395/683

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41417/89	December 1989	AU	
41416/89	December 1989	AU	
79455/91	March 1992	AU	
0 108 233	May 1984	EP	
0 130 375	January 1985	EP	
0 167 725	January 1986	EP	
0 216 535	April 1987	EP	
0 258 867	March 1988	EP	
0 387 462	September 1990	EP	
57-092954	June 1982	JP	
63-050140	March 1988	JP	
63-174159	July 1988	JP	
63-214045	September 1988	JP	
2 191 069	December 1987	GB	
2 205 018	November 1988	GB	

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this form, entry #5).
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Source Code for file tk.sub.-- news.c (including a facility called the "News
Service" and hereafter referred to as "Old News" (dated May 1990, Feb. 24, 1988,
Dec. 14, 1987).
Salomon Brothers Activities (see Information Disclosure Statement filed with this
form, entry #6).

ART-UNIT: 277

PRIMARY-EXAMINER: Kriess; Kevin A.

ABSTRACT:

A communication interface for decoupling one software application from another
software application such communications between applications are facilitated and
applications may be developed in modularized fashion. The communication interface is
comprised of two libraries of programs. One library manages self-describing forms
which contain actual data to be exchanged as well as type information regarding data
format and class definition that contain semantic information. Another library
manages communications and includes a subject mapper to receive subscription
requests regarding a particular subject and map them to particular communication
disciplines and to particular services supplying this information. A number of
communication disciplines also cooperate with the subject mapper or directly with
client applications to manage communications with various other applications using
the communication protocols used by those other applications.

23 Claims, 28 Drawing figures

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L13: Entry 1 of 2   File: USPT   Aug 4, 1992

US-PAT-NO: 5136501
DOCUMENT-IDENTIFIER: US 5136501 A

TITLE: Anonymous matching system

DATE-ISSUED: August 4, 1992

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Silverman; David L.	Nesconset	NY		
Keller; Norman	Mt. Sinai	NY		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters Limited	London			GB2	03

APPL-NO: 07/ 357478   [PALM]
DATE FILED: May 26, 1989

INT-CL: [05] G06F 15/20, G06G 7/52

US-CL-ISSUED: 364/408
US-CL-CURRENT: 705/37; 705/38

FIELD-OF-SEARCH: 364/401, 364/408

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	3573747	April 1971	Adams et al.	364/408
☐	3697693	October 1972	Deschenes et al.	364/408
☐	4677552	June 1987	Sibley, Jr.	364/408
☐	4766293	August 1988	Boston	364/408
☐	4774663	September 1988	Musamanno et al.	364/408
☐	4903201	February 1990	Wagner	364/900

OTHER PUBLICATIONS

Welles, Institutional Investor "The Computer Assault on New York's Foreign Exchange Market"; May 1976, 32.

ART-UNIT: 231

PRIMARY-EXAMINER: Shaw; Dale M.

ASSISTANT-EXAMINER: Brutman; Laura

ABSTRACT:

A matching system for trading instruments in which bids are automatically matched against offers for given trading instruments for automatically providing matching transactions in order to complete trades for the given trading instruments, includes a host computer means (20) comprising means for anonymously matching active bids and offers in the system by trading instrument based on a variable matching criteria, which comprises counterparty credit limit between counterparties (24a, 26b) to a potential matching transaction. The system also includes a transaction originating keystation (24a) for providing a bid on a given trading instrument to the system for providing the potential matching transaction; a counterparty keystation (26b) for providing an offer on the given trading instrument involved in the potential matching transaction; and network means (22) for interconnecting the host computer means (20), the transaction originating keystation (24a) and the counterparty keystation (26b) in the system for enabling data communications therebetween. Both the transaction originating keystation (24a) and the counterparty keystation (26b) for the potential matching transaction each have an associated counterparty credit limit, with the system (20) blocking completion of the potential matching transaction between the transaction originating keystation (24a) and the counterparty keystation means (26b) when the potential matching transaction has an associated value in excess of counterparty credit limit. The assigned credit limits may be reset or varied by the users (24a, 26b) to change the ability of the user or subscriber to effectuate deals.

57 Claims, 20 Drawing figures

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L16: Entry 1 of 2   File: USPT   Jul 23, 1991

US-PAT-NO: 5034916
DOCUMENT-IDENTIFIER: US 5034916 A

TITLE: Fast contact conversational video system

DATE-ISSUED: July 23, 1991

INVENTOR-INFORMATION:
NAME   CITY   STATE   ZIP CODE   COUNTRY
Ordish; Christopher J.   Virginia Water   GB

ASSIGNEE-INFORMATION:
NAME   CITY   STATE   ZIP CODE   COUNTRY   TYPE CODE
Reuters Limited   GB2   03

APPL-NO: 07/ 261578   [PALM]
DATE FILED: October 24, 1988

INT-CL: [05] G06F 3/14

US-CL-ISSUED: 364/900; 379/95, 379/96, 364/918.8, 364/927.6, 364/927.64, 364/927.96,
364/929, 364/929.12, 364/935.2, 364/942.06, 364/974.2, 364/976.1, 364/976.2,
364/222.2, 364/222.3, 364/228.3, 364/234, 364/234.2, 364/237.2, 364/237.3,
364/238.5, 364/263, 364/284, 364/284.3, 364/284.4
US-CL-CURRENT: 709/204; 379/93.02, 379/93.12, 379/93.18, 709/227

FIELD-OF-SEARCH: 364/200, 364/900, 379/354, 379/355, 379/368, 379/96, 379/95

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

Search Selected   Search ALL

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	4431870	February 1984	May et al.	379/354
☐	4506111	March 1985	Takenouchi et al.	379/95
☐	4525779	June 1985	Davids et al.	364/200
☐	4531184	July 1985	Wigan et al.	364/200
☐	4640989	February 1987	Riner et al.	379/96
☐	4689761	August 1987	Yurehenco	364/900
☐	4825461	April 1989	Kurita et al.	379/355
☐	4885580	December 1989	Noto et al.	379/354
☐	4901223	February 1990	Rhyne	379/95
☐	4908853	March 1990	Matsumoto	379/354

ART-UNIT: 238

PRIMARY-EXAMINER: Fleming; Michael R.

ASSISTANT-EXAMINER: Sheikh; Ayaz R.

ABSTRACT:

An improved system (30) provides fast contact in a conversational video system by use of a screen pointer (200) in connection with a windowed display of a financial data page and a unique subscriber identification code with or without an interest message code. When an interest message code is provided, the prestored interest message is expanded and inserted in the command line. If a double click is employed with the mouse 200 screen pointer, contact is automatically initiated with the called party and the interest message transmitted. However, if only a single click is detected, the interest message is inserted in the command line without being automatically transmitted. The subscriber may then double click his mouse screen pointer (200) at the location of the code in the display (76) or may press the TRANSMIT key on the keyboard (72) to send the interest message to the called party. The system (30) may also use CONTACT LISTS to initiate conversational contacts.

21 Claims, 25 Drawing figures

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US-PAT-NO: 4750135
DOCUMENT-IDENTIFIER: US 4750135 A

TITLE: Method for dynamically creating a receiver definable local trading instrument displayable record from a remotely transmitted trading instrument common data stream

DATE-ISSUED: June 7, 1988

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Boilen; Shelly	Westbury	NY		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters Limited	London			GB2	03

APPL-NO: 06/ 858057   [PALM]
DATE FILED: May 1, 1986

INT-CL: [04] G06F 3/14, G09G 3/02

US-CL-ISSUED: 364/514; 364/518, 340/719, 340/802
US-CL-CURRENT: 709/231; 715/507

FIELD-OF-SEARCH: 364/401, 364/406, 364/514, 364/517, 364/518, 340/721, 340/735, 340/718, 340/719, 340/723, 340/789, 340/798-803

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

│   Search Selected   │   Search ALL   │

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	4580242	April 1986	Suzuki et al.	364/518

ART-UNIT: 234

PRIMARY-EXAMINER: Lall; Parshotam S.

ASSISTANT-EXAMINER: Mattson; Brian M.

ABSTRACT:

In accordance with the method of the present invention, a local subscriber defines its own filter sets and/or local templates which are used to create new updateable local trading instrument displayable data records from a common remotely transmitted data stream of trading instrument data records, which are user created reconstituted data records different from the transmitted trading instrument data records. A common one of the defined filter sets and/or local templates may be used for a plurality of different data records having a common desired set of information categories. The transmitted data may be in a logical data format or a page display format, in which instance it is converted to a logical data format. The local template is used to convert page display data to logical data and may be

repetitively used on different display rows of a given page display and/or on
different page displays to provide a plurality of receiver defined locally created
trading instrument display records so that only the information desired by the local
subscriber is displayed on his screen as user defined local trading instruments.

37 Claims, 11 Drawing figures

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L19: Entry 1 of 2   File: USPT   May 17, 1988

US-PAT-NO: 4745559
DOCUMENT-IDENTIFIER: US 4745559 A

TITLE: Method and system for dynamically controlling the content of a local receiver data base from a transmitted data base in an information retrieval communication network

DATE-ISSUED: May 17, 1988

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Willis; Richard A.	West Clandon			GB
Markham; Alan	Radlett			GB
Genshaft; Robert S.	Plainview	NY		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters Limited	London			GB2	03

APPL-NO: 06/ 813703   [PALM]
DATE FILED: December 27, 1985

INT-CL: [04] G06K 15/00, G06F 15/20

US-CL-ISSUED: 364/514; 364/408, 370/91
US-CL-CURRENT: 705/37; 370/428, 370/477, 707/10, 709/217

FIELD-OF-SEARCH: 364/400, 364/401, 364/408, 364/514, 364/200, 364/900, 364/517, 370/91, 370/92

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	4260854	April 1981	Kolodny et al.	364/514
☐	4633397	December 1986	Macco	364/401

FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
59-89056	May 1984	JP	364/514
60-144050	July 1985	JP	364/514

ART-UNIT: 234

PRIMARY-EXAMINER: Lall; Parshotam S.

ASSISTANT-EXAMINER: Mattson; Brian M.

ABSTRACT:

A method and system (28) are provided for dynamically controlling the content of a local receiver data base (24, 26) from a transmitter data base (20) in an information retrieval communication network (28) in which a message transmitter transmitting the transmitter data base (20) dynamically provides data base messages over a message distribution network (22) to local receivers receiving the local receiver data bases (24, 26). The transmitter data base (20) messages are used to incrementally increase and decrease the content of the local receiver data base (24, 26) on a record-by-record basis. In addition, non-data base messages may also be provided. The data base messages consist of displayable data as well as file maintenance messages. Storage templates (42) are retrievably stored at the local receiver data base (24, 26). These storage templates (42) are locally retrieved based on receipt of a unique identifier. Each stored record (40) has a unique associated storage template (42) although a storage template (42) may be corresponding to several different records (40). Set identifiers defining multiple field identifiers of information fields and ripple chains, which chains require a change in only one field in the ripple chain to be transmitted, are used by the local receiver data base (24, 26) in conjunction with transmitted update record data base messages (54) to reduce the communications capacity that is required.

60 Claims, 13 Drawing figures

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L21: Entry 1 of 2   File: USPT   Jun 16, 1987

US-PAT-NO: 4674044
DOCUMENT-IDENTIFIER: US 4674044 A

TITLE: Automated securities trading system

DATE-ISSUED: June 16, 1987

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Kalmus; Leslie P.	New York	NY		
Trojan; Donald R.	Stamford	CT		
Mott; Bradley	Douglaston	NY		
Strampfer; John	Greenlawn	NY		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Merrill Lynch, Pierce, Fenner & Smith, Inc.	New York	NY			02

APPL-NO: 06/ 696407   [PALM]
DATE FILED: January 30, 1985

INT-CL: [04] G06F 15/20, G06F 15/30

US-CL-ISSUED: 364/408; 340/825.26, 340/825.27
US-CL-CURRENT: 705/37; 340/825.26, 340/825.27

FIELD-OF-SEARCH: 364/408, 364/200, 364/900, 340/825.26, 340/825.27

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

Search Selected   Search ALL

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	2046381	July 1936	Hicks	340/825.27
☐	3082402	March 1963	Scantlin	340/825.27
☐	3296597	June 1967	Scantlin	340/825.27
☐	3387268	June 1968	Epstein	340/825.27
☐	3573747	April 1971	Adams	340/825.27
☐	3716835	February 1973	Weinberg	340/825.27
☐	4334270	June 1982	Towers	364/408
☐	4412287	October 1983	Braddock	364/408
☐	4473824	September 1984	Claytor	340/792
☐	4554418	November 1985	Toy	364/900

ART-UNIT: 236

PRIMARY-EXAMINER: Smith; Jerry

ASSISTANT-EXAMINER: Hayes; G.

ABSTRACT:

Data processing based apparatus makes an automated trading market for one or more securities. The system retrieves the best obtaining bid and asked prices from a remote data base, covering the ensemble of institutions or others making a market for the relevant securities. Data characterizing each securities buy/sell order requested by a customer is supplied to the system. The order is qualified for execution by comparing its specifics against predetermined stored parameters. The stored parameters include the operative bid and asked prices, the amount of stock available for customer purchase or sale, and maximum single order size.

Once qualified, the order is executed and the appropriate parameters are updated. The system provides inventory (position) control and profit accounting for the market maker. Finally, the system reports the executed trade details to the customer, and to national stock price reporting systems. Upon a change in the quoted price for a security, the system updates all relevant qualification parameters.

10 Claims, 6 Drawing figures

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L22: Entry 1 of 2   File: USPT   Sep 13, 1994

US-PAT-NO: 5347452
DOCUMENT-IDENTIFIER: US 5347452 A

TITLE: Method for providing a visual display of current trading volume and
cumulative average trading volume for preselected time intervals

DATE-ISSUED: September 13, 1994

INVENTOR-INFORMATION:
NAME   CITY   STATE   ZIP CODE   COUNTRY
Bay, Jr.; William P.   Ormond Beach   FL   32174

APPL-NO: 07/ 729041   [PALM]
DATE FILED: July 12, 1991

INT-CL: [05] G06F 15/24

US-CL-ISSUED: 364/408; 340/825.26
US-CL-CURRENT: 705/37; 340/825.26, 345/440

FIELD-OF-SEARCH: 395/140, 364/408, 340/825.26, 340/825.27

PRIOR-ART-DISCLOSED:

OTHER PUBLICATIONS

Lewis, Brian K. "Investor's Advantage 1.02", Computer Shopper vol. 9, No. 2 p.
153/2, Feb. 1989, Abstract from Microsearch file of Orbit AN:89-053115.
Diascro, Stephen C. "Stock Trading System--Comp. Adv. for Serious Investor" PCM,
vol. 6, No. 2, p. 140/1, Aug. 1988, Microsearch file of Orbit AN:88-050477.
Colby, Robert W. "Trendline II", PC Magazine, vol. 5, No. 7, p. 154/2 Apr. 15, 1986,
Abs. from Microsearch file of Orbit AN:86-033803.

ART-UNIT: 231

PRIMARY-EXAMINER: Hayes; Gail O.

ABSTRACT:

A method for displaying market trading volume in selected commodities for developing
a priori knowledge of price trends from abnormal trading volume comprises a graph
including a first set of sequential markers. Each first marker corresponds to a
preselected time interval and has an amplitude representing average volume of trades
of a predetermined item during a preselected time interval taken over a
predetermined number of the preselected time intervals. The method further comprises
generating a set of second markers substantially concurrently in time with the
corresponding first markers and which are positioned on the graph in proximity to
the corresponding first markers. Each second marker has an amplitude representing
the volume of trades in the preselected item during the most recent preselected time
intervals with the difference in amplitude indicative of trade volume deviation from
average trade volume.

6 Claims, 6 Drawing figures

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L25: Entry 1 of 2   File: USPT   Jan 11, 2000

US-PAT-NO: 6014643
DOCUMENT-IDENTIFIER: US 6014643 A

TITLE: Interactive securities trading system

DATE-ISSUED: January 11, 2000

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Minton; Vernon F.	Fort Worth	TX	76112	

APPL-NO: 08/ 703133   [PALM]
DATE FILED: August 26, 1996

PARENT-CASE:
This application claims benefit of Provisional Application 60/020,865, filed Jun.
28, 1996.

INT-CL: [06] G06 F 17/60

US-CL-ISSUED: 705/37; 705/26, 705/36, 705/38, 705/40
US-CL-CURRENT: 705/37; 705/26, 705/36, 705/38, 705/40

FIELD-OF-SEARCH: 705/37, 705/39, 705/26, 705/40, 705/36

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE- E	PATENTEE-NAME	US-CL
☐	3573747	April 1971	Adams	705/37
☐	4346442	August 1982	Musmanno	364/408
☐	4376978	March 1983	Musmanno	364/408
☐	4412287	October 1983	Braddock, III	364/408
☐	4674044	June 1987	Kalmus et al.	364/408
☐	4677552	June 1987	Sibley, Jr.	705/37
☐	4700297	October 1987	Hagel, Sr. et al.	364/408
☐	4774663	September 1988	Musamanno et al.	364/408
☐	4903201	February 1990	Wagner	705/37
☐	5063507	November 1991	Lindsey et al.	705/26
☐	5136501	August 1992	Silverman et al.	705/37
☐	5270922	December 1993	Higgins	364/408
☐	5285383	February 1994	Lindsey et al.	705/26
☐	5297032	March 1994	Trojan et al.	364/408
☐	5375055	December 1994	Togher et al.	705/37
☐	5563783	October 1996	Stolfo et al.	705/37
☐	5689652	November 1997	Lupien et al.	705/37
☐	5717989	February 1998	Tozzoli et al.	705/37

OTHER PUBLICATIONS

Securities and Exchange Commission (SEC) Proposed Rules/Federal Register/vol. 60, No. 195/Release No. 34-36310, Oct. 10, 1995.

ART-UNIT: 275

PRIMARY-EXAMINER: MacDonald; Allen R.

ASSISTANT-EXAMINER: Jeanty; Romain

ABSTRACT:

A first individual enters an offer to sell a security on a first data processing system. This offer is sent to a server over a communication network which is available to the public. From the server, the offer is transmitted to additional data processing systems which are connected to the publicly-available communication network. The first user's offer is eventually sent to a second data processing system, where a second individual enters an acceptance to the first user's offer to sell a security. This second user's acceptance is then transmitted back to the server over the publicly-available communication network. Upon the arrival of the acceptance, an account belonging to the second user is debited for the amount of the security just purchased, and the second user obtains title to the securities.

4 Claims, 12 Drawing figures

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Search Results - Record(s) 1 through 4 of 4 returned.

☐   1.   Document ID: US 20020174055 A1

L31: Entry 1 of 4   File: PGPB   Nov 21, 2002

PGPUB-DOCUMENT-NUMBER: 20020174055
PGPUB-FILING-TYPE: new
DOCUMENT-IDENTIFIER: US 20020174055 A1

TITLE: System, method and computer program product for providing an efficient trading market

PUBLICATION-DATE: November 21, 2002

INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
Dick, Kevin Stewart	Palo Alto	CA	US	
Rescorla, Eric Kenneth	Mountain View	CA	US	

US-CL-CURRENT: 705/37

| Full | Title | Citation | Front | Review | Classification | Date | Reference | Sequences | Attachments | Claims | KWIC | Draw. Desc. | Image |

☐   2.   Document ID: US 20020069076 A1

L31: Entry 2 of 4   File: PGPB   Jun 6, 2002

PGPUB-DOCUMENT-NUMBER: 20020069076
PGPUB-FILING-TYPE: new
DOCUMENT-IDENTIFIER: US 20020069076 A1

TITLE: GLOBAL SYNCHRONIZATION UNIT (GSU) FOR TIME AND SPACE (TS) STAMPING OF INPUT DATA ELEMENTS

PUBLICATION-DATE: June 6, 2002

INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
Faris, Sadeg M.	Pleasantville	NY	US	
Hamlin, Gregory	Presque Island	ME	US	
Flannery, James P.	New City	NY	US	

US-CL-CURRENT: 705/1

| Full | Title | Citation | Front | Review | Classification | Date | Reference | Sequences | Attachments | Claims | KWIC | Draw Desc | Image |

☐   3.   Document ID: US 20020026321 A1

L31: Entry 3 of 4   File: PGPB   Feb 28, 2002

PGPUB-DOCUMENT-NUMBER: 20020026321
PGPUB-FILING-TYPE: new
DOCUMENT-IDENTIFIER: US 20020026321 A1

TITLE: INTERNET-BASED SYSTEM AND METHOD FOR FAIRLY AND SECURELY ENABLING

TIMED-CONSTRAINED COMPE   ION USING GLOBALLY TIME-SYCHRO●ED CLIENT SUBSYSTEMS AND
INFORMATION SERVERS HAVING MICROSECOND CLIENT-EVENT RESOLUTION

PUBLICATION-DATE: February 28, 2002

INVENTOR-INFORMATION:
NAME	CITY	STATE	COUNTRY	RULE-47
FARIS, SADEG M.	PLEASANTVILLE	NY	US	
HAMLIN, GREGORY J.	PRESQUE ISLAND	ME	US	
FLANNERY, JAMES P.	NEW CITY	NY	US	

US-CL-CURRENT: 705/1

| Full | Title | Citation | Front | Review | Classification | Date | Reference | Sequences | Attachments | | KWIC | Draw Desc | Image |

☐ 4.   Document ID: EP 1240597 A2 WO 200142967 A2 AU 200129079 A

L31: Entry 4 of 4   File: DWPI   Sep 18, 2002

DERWENT-ACC-NO: 2001-390089
DERWENT-WEEK: 200269
COPYRIGHT 2003 DERWENT INFORMATION LTD
TITLE: Computerized system for trading of securities in which order preferences for
securities are entered by a user, are stored on a computer and used as default
preferences

INVENTOR: ABSHIRE, J W; BUNDA, J ; DIXON, T ; FIERCE, E E ; GRUBEN, T W ; LESTER, S
; MONGARAS, J C ; NESMITH, K A ; SALINAS, O

PRIORITY-DATA: 1999US-0460045 (December 13, 1999)

PATENT-FAMILY:
PUB-NO	PUB-DATE	LANGUAGE	PAGES	MAIN-IPC
EP 1240597 A2	September 18, 2002	E	000	G06F017/00
WO 200142967 A2	June 14, 2001	E	021	G06F017/00
AU 200129079 A	June 18, 2001		000	G06F017/00

INT-CL (IPC): G06 F 17/00

| Full | Title | Citation | Front | Review | Classification | Date | Reference | Sequences | Attachments | | KWIC | Draw Desc | Image |

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Terms	Documents
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Previous Page   Next Page

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L37: Entry 7 of 26   File: PGPB   Jul 11, 2002

PGPUB-DOCUMENT-NUMBER: 20020091611
PGPUB-FILING-TYPE: new
DOCUMENT-IDENTIFIER: US 20020091611 A1

TITLE: INTERACTIVE SECURITIES TRADING SYSTEM

PUBLICATION-DATE: July 11, 2002

INVENTOR-INFORMATION:
| NAME | CITY | STATE | COUNTRY | RULE-47 |
| MINTON, VERNON F. | FORT WORTH | TX | US | |

APPL-NO: 09/ 363623   [PALM]
DATE FILED: July 29, 1999

CONTINUED PROSECUTION APPLICATION: This is a publication of a continued prosecution
application (CPA) filed under 37 CFR 1.53(d).

RELATED-US-APPL-DATA:
Application 09/363623 is a continuation-of US application 08/703133, filed August
26, 1996, US Patent No. 6014643

INT-CL: [07] G06 F 17/60

US-CL-PUBLISHED: 705/37
US-CL-CURRENT: 705/37

REPRESENTATIVE-FIGURES: 4

ABSTRACT:

A first individual enters an offer to sell a security on a first data processing
system. This offer is sent to a server over a communication network, which is
available to the public. From the server, the offer is transmitted to additional
data processing systems which are connected to the publicly-available communication
network. The first user's offer is eventually sent to a second data processing
system, where a second individual enters an acceptance to the first user's offer to
sell a security. This second user's acceptance is then transmitted back to the
server over the publicly-available communication network. Upon the arrival of the
acceptance, an account belonging to the second user is debited for the amount of the
security just purchased, and the second user obtains title to the securities.

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L37: Entry 12 of 26   File: PGPB   May 2, 2002

PGPUB-DOCUMENT-NUMBER: 20020052821
PGPUB-FILING-TYPE: new
DOCUMENT-IDENTIFIER: US 20020052821 A1

TITLE: Method and system for supporting trade of securities

PUBLICATION-DATE: May 2, 2002

INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
Terashima, Shigehiko	Kawasaki		JP	

APPL-NO: 09/ 802995   [PALM]
DATE FILED: March 12, 2001

FOREIGN-APPL-PRIORITY-DATA:

COUNTRY	APPL-NO	DOC-ID	APPL-DATE
JP	2000-326374	2000JP-2000-326374	October 26, 2000

INT-CL: [07] G06 F 17/60

US-CL-PUBLISHED: 705/37
US-CL-CURRENT: 705/37

REPRESENTATIVE-FIGURES: 15

ABSTRACT:

A system and method which support securities transactions, preventing the market
price from fluctuating when introducing a new set of securities to the public. In
this trade support system, a trade processing unit processes buying and selling
orders received online from customers' terminals. Each time a deal is completed, the
trade price acquisition unit takes in the resultant trade price. A price evaluation
unit determines whether the acquired trade price meets the offering price that is
suggested in the prospectus of the public offering. If the former is lower than the
latter, the price evaluation unit so notifies a trading order placement unit. A
subscription period checking unit, on the other hand, checks whether the present
date and time is within the subscription period. The trading order placement unit
places a buying or selling order at a price within an allowable range around the
suggested offering price, when an excessive difference between the trade price and
suggested offering price is found during the subscription period. As a result of the
above operation, the market price is stabilized during the subscription period.

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L37: Entry 16 of 26   File: PGPB   Jan 3, 2002

PGPUB-DOCUMENT-NUMBER: 20020002513
PGPUB-FILING-TYPE: new
DOCUMENT-IDENTIFIER: US 20020002513 A1

TITLE: COMPUTER NETWORK TRANSACTION SYSTEM

PUBLICATION-DATE: January 3, 2002

INVENTOR-INFORMATION:
NAME   CITY   STATE   COUNTRY   RULE-47
CHIASSON, JAMES P.   BURLINGTON   VT   US

APPL-NO: 09/ 220666   [PALM]
DATE FILED: December 24, 1998

CONTINUED PROSECUTION APPLICATION: This is a publication of a continued prosecution
application (CPA) filed under 37 CFR 1.53(d).

RELATED-US-APPL-DATA:
Application is a non-provisional-of-provisional application 60/109833, filed
November 25, 1998,

INT-CL: [07] G06 F 17/60

US-CL-PUBLISHED: 705/27
US-CL-CURRENT: 705/27

REPRESENTATIVE-FIGURES: 3

ABSTRACT:

A system (20) for conducting interactive electronic commerce, including shopping,
bill payment and investment portfolio activities, across a network, such as the
Internet, among multiple merchant sites (24), multiple billing sites (25) or
multiple investment sites (26). The system includes tools that facilitate such
activities, which tools are displayed as frames in a portion of the display of a
user's computer. Remaining portions of the display of a user's computer may be
filled with content from a merchant site, payment site, investment site or other
site of interest. Information may be readily transferred from, for example, the web
page of a merchant site to an e-catalog (124) where information concerning an item
of interest is stored. Templates (122) are provided for facilitating entry of such
information. An order may be submitted to multiple merchant sites based on the
contents of the e-catalog as a single operation. Similarly, bills may be paid to
multiple billing sites as a single operation and investment transactions may be
effected with multiple investment sites as a single operation.

[0001] This application claims the benefit of U.S. Provisional Application No.
60/109,833, filed Nov. 25, 1998.

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L37: Entry 20 of 26   File: USPT   Jun 18, 2002

US-PAT-NO: 6408282
DOCUMENT-IDENTIFIER: US 6408282 B1

TITLE: System and method for conducting securities transactions over a computer network

DATE-ISSUED: June 18, 2002

INVENTOR-INFORMATION:
NAME   CITY   STATE   ZIP CODE   COUNTRY
Buist; Walter D.   Hasbrouck Heights   NJ

ASSIGNEE-INFORMATION:
NAME   CITY   STATE   ZIP CODE   COUNTRY   TYPE CODE
Wit Capital Corp.   New York   NY   02

APPL-NO: 09/ 292553   [PALM]
DATE FILED: April 15, 1999

PARENT-CASE:
This application claims benefit to U.S. Provisional No. 60/122,208 filed Mar. 1, 1999.

INT-CL: [07] G06 F 17/60

US-CL-ISSUED: 705/37; 705/36
US-CL-CURRENT: 705/37; 705/36

FIELD-OF-SEARCH: 705/36, 705/37

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

[Search Selected] [Search ALL]

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	3573747	April 1971	Adams	705/37
☐	5809483	September 1998	Broka et al.	705/37
☐	5873071	February 1999	Ferstenberg et al.	705/37
☐	5924082	July 1999	Silverman et al.	705/37
☐	6014643	July 1999	Minton	705/37
☐	5950177	September 1999	Lupien et al.	705/37
☐	6012046	January 2000	Lupien	705/37
☐	6243691	June 2001	Fisher et al.	705/37

FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
0407026	September 1991	EP	
WO9506918	March 1995	WO	
WO9634357	October 1996	WO	
WO9852133	November 1998	WO	

OTHER PUBLICATIONS

"Morgan Stanley Deploys Black Box Trading System"; May 1991; Trading Systems Technology; Dialog file 636, Accession No. 01493468.*
Louis; "New breed of ECNs competes for market share"; Nov. 1998; Wall Street and Technology Online Trading Supplement PP: 16-17; Dialog file 15, Accession No. 01726082.*
Resnick; "Serial portfolio. (Online securities trading) (including listing of products and services"; Dec. 1992; Computer, V14, n11, p90(4); dialog filw 148, Accession No. 06184981.*
Lehman "Trading and liquidity on the Tokyo Stock Exchange: a bird's eye view"; Jul. 1994, Journal of Finance, v49, n3, p951(34); Dialog file 148, Accession No. 0752021.

ART-UNIT: 2163

PRIMARY-EXAMINER: Hafiz; Tariq R.

ASSISTANT-EXAMINER: Jeanty; Romain

ABSTRACT:

The system and method of the preferred embodiment supports trading of securities over the Internet both on national exchanges and outside the national exchanges. The preferred embodiment supports an improved human interface and a continuous display of real-time stock quotes on the user's computer screen. The ergonomic graphical user interface (GUI) of the preferred embodiment includes several functional benefits in comparison with existing on-line consumer trading systems. In the preferred embodiment, the users are subscribers to a securities trading service offered over the Internet. Preferably, each subscriber to this service is simultaneously connected from his own computer to a first system which provides user-to-user trading capabilities and to a second system which is a broker/dealer system of his/her choice. The system providing the user-to-user trading services preferably includes a root server and a hierarchical network of replicated servers supporting replicated databases. The user-to-user system provides real-time continuously updated stock information and facilitates user-to-user trades that have been approved by the broker/dealer systems with which it interacts. Users of the preferred system can trade securities with other users of the system. As part of this user-to-user trading, a user can accept a buy or sell offer at the terms offered or he can initiate a counteroffer and negotiate a trade.

7 Claims, 71 Drawing figures

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L37: Entry 22 of 26   File: USPT   Jan 11, 2000

US-PAT-NO: 6014643
DOCUMENT-IDENTIFIER: US 6014643 A

TITLE: Interactive securities trading system

DATE-ISSUED: January 11, 2000

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Minton; Vernon F.	Fort Worth	TX	76112	

APPL-NO: 08/ 703133   [PALM]
DATE FILED: August 26, 1996

PARENT-CASE:
This application claims benefit of Provisional Application 60/020,865, filed Jun. 28, 1996.

INT-CL: [06] G06 F 17/60

US-CL-ISSUED: 705/37; 705/26, 705/36, 705/38, 705/40
US-CL-CURRENT: 705/37; 705/26, 705/36, 705/38, 705/40

FIELD-OF-SEARCH: 705/37, 705/39, 705/26, 705/40, 705/36

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	3573747	April 1971	Adams	705/37
☐	4346442	August 1982	Musmanno	364/408
☐	4376978	March 1983	Musmanno	364/408
☐	4412287	October 1983	Braddock, III	364/408
☐	4674044	June 1987	Kalmus et al.	364/408
☐	4677552	June 1987	Sibley, Jr.	705/37
☐	4700297	October 1987	Hagel, Sr. et al.	364/408
☐	4774663	September 1988	Musamanno et al.	364/408
☐	4903201	February 1990	Wagner	705/37
☐	5063507	November 1991	Lindsey et al.	705/26
☐	5136501	August 1992	Silverman et al.	705/37
☐	5270922	December 1993	Higgins	364/408
☐	5285383	February 1994	Lindsey et al.	705/26
☐	5297032	March 1994	Trojan et al.	364/408
☐	5375055	December 1994	Togher et al.	705/37
☐	5563783	October 1996	Stolfo et al.	705/37
☐	5689652	November 1997	Lupien et al.	705/37
☐	5717989	February 1998	Tozzoli et al.	705/37

OTHER PUBLICATIONS

Securities and Exchange Commission (SEC) Proposed Rules/Federal Register/vol. 60, No. 195/Release No. 34-36310, Oct. 10, 1995.

ART-UNIT: 275

PRIMARY-EXAMINER: MacDonald; Allen R.

ASSISTANT-EXAMINER: Jeanty; Romain

ABSTRACT:

A first individual enters an offer to sell a security on a first data processing system. This offer is sent to a server over a communication network which is available to the public. From the server, the offer is transmitted to additional data processing systems which are connected to the publicly-available communication network. The first user's offer is eventually sent to a second data processing system, where a second individual enters an acceptance to the first user's offer to sell a security. This second user's acceptance is then transmitted back to the server over the publicly-available communication network. Upon the arrival of the acceptance, an account belonging to the second user is debited for the amount of the security just purchased, and the second user obtains title to the securities.

4 Claims, 12 Drawing figures